3. End of Day Processes

This chapter will discuss the functions of the End of Day Process application that is run either manually or automatically on the Server at the end of the business day. The main processing for End of Day is designed to run on a server. The application interface does not require interaction from a user. However, there are two exceptions that will require acknowledgement. 1) If the application is started again while it is currently running a message will be issued stating that another instance of the application is already running. 2) If the database table Currently_Executing shows a process that is in conflict with End of Day a message is displayed. The message displays the process name that conflicts with End of Day. For example, the End of Month processes use bank paid/rejected information for food instruments, which End of Day processes. Therefore the two processes must not run simultaneously.

The End of Day administrator controls when End of Day will execute using Schedule Job Administration (Chapter 09) and Windows Task Scheduler. When the administrator adds End of Day to the schedule, the database table Scheduled_Job_Control is updated indicating that End of Day is scheduled. This does not actually invoke End of Day to run. End of Day must be scheduled through Window Task Scheduler or some other form of automated scheduler or manually invoked. When invoked, End of Day reads Scheduled_Job_Control as the first step before proceeding. If the table indicates scheduled, then processing continues; otherwise, End of Day immediately terminates successfully. This feature provides for the flexibility of keeping End of Day on an automated scheduler to run each day without the need to alter the schedule. It is the Scheduled_Job_Control table maintained by the End of Day administrator that determines when the processing actually takes place for the month.

The End of Day Dialog will be initially displayed in a minimized state. The End of Day window can be restored by double clicking the title bar. A progress bar is displayed while the processes are running. All informative and error condition messages are saved to the End of Day event log. The processes run during End of Day are determined by the values that are set for each State Business Rule.

3.1 Log On

When End of Day Process is started, it will log into the system using a known username and password. This gives the program access to the database tables it needs to get the required information. The user name and password will come out of the registry from the server where End of Day is run: HKEY_LOCAL_MACHINE\SOFTWARE\PDA\<STATE>VENDOR\COMMON\OBJECTOWNER.

The service name will be taken out of the registry on the server where End of Day is run: HKEY_LOCAL_MACHINE\SOFTWARE\ PDA \<STATE>VENDOR\COMMON\ORACLEDBSERVICENAME.

3.2 Response File

Upon selection of the End of Day Process, the system checks for a Response File on the server where End of Day is run. The End of Day Process will not continue if the response file is missing or sends an unsuccessful message back to the system.

If applicable for your State, End of Day will look for Response file on the server where End of Day is run in the \\<StateCode>EOD\CSFPISSUANCE\RESPONSE and CSFPSTOPPAY\RESPONSE folder.

If applicable for your State, End of Day will look for Response file on the server where End of Day is run in the EOD\FOODINSTRUMENT\REPONSE folder.

3.3 Progress Meter

When the End of Day dialog is restored (not minimized), the progress meter is displayed to inform the user of End of Day processing status. The progress meter displays the percentage complete for the processing of the files. Once the meter reaches 100% the End of Day process is complete.
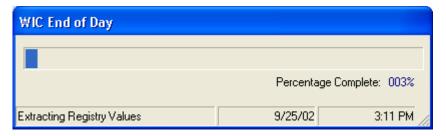
Figure 1– End of Day Dialog

3.3.1 Controls

3.3.1.1 End of Day Percent Complete Progress Bar

The control displays a progress indicator for the End of Day process.

3.3.1.1.1 Characteristics

The progress bar will be enabled when the form is active. It will display, in a graphical display, the percentage of completion.

3.3.1.1.2 Edits

There are currently no edits for this control.

3.3.1.2 End of Day Status Bar

The control displays three things. The process currently running is displayed in panel one. The current system date is displayed in panel two. The current system time is displayed in the panel three.

3.3.1.2.1 Characteristics

The status bar will be enabled when the form is active.

3.3.1.2.2 Edits

There are currently no edits for panel one. For panel two the format will be MM/DD/YYYY. The third panel will have a format of HH:MM AM/PM.

3.3.2 Validation of Required Settings Logged messages

This section describes the processes (navigation) that take place as a result of the actions taken on the End of Day Conflicts.

3.3.2.1 System Registry Entries

If the system registry has been updated or corrupted, a system message is written to the log file with the message text, "The system was unable to retrieve the end of month reports file folder name from the registry. Please contact technical support for assistance."

If the required registry entry for End of Day is not found in the Windows System Registry, End of Day Processing will be terminated. A message box will be written to the log file with the message text "A directory or file defined in the Registry for the End of Day process does not exist".

3.4 Order of processing

The order of processing end of day will be determined by the value in the State Business Rules table and if applicable for your state. Processes, imports, and exports applicable for your state will be processed. Processes are run first, imports second, and exports last.

3.5 Process Sanction Points

Sanction points that no longer apply will be 'rolled-off 'the system. The sanction points accumulate over the lifetime of the Vendor contract. These sanction points may no longer be counted against a vendor after a period of time. Each violation has a different expiration date that varies from 0 days to infinite. The End of Day Process will roll-off the expired sanction points that meet certain criteria. This process is applicable for your state if the State Business Rule EOD_PROCESSSANCTIONPOINTS = 'Y'.

3.5.1 Roll-off points

If EOD_PROCESSSANCTIONPOINTS = 'Y' in the StateBusiness rules table, all Sanction points in the Violation table with an ApplyUpTo date greater than the EODLastRunDate in the System Information table and less than or equal to the current system date will be gathered and subtracted from the parent records in the in the FollowUpActivity table and the Event table.

3.6 Process Pending Disqualification

The End of Day process will change a vendor to a Disqualified status if the vendor grace period has expired and the vendor is in a Pending Disqualification status. This process is applicable for your state if the State Business Rule EOD_PROCESSSPENDINGDISQUALIFICATION = 'Y'.

3.6.1 Process Pending Disqualifications

If EOD_PROCESSSPENDINGDISQUALIFICATION = 'Y' and the TerminationDate in the TermDisqualification table is greater than the EODLastRunDate in the SystemInformationtable and less than or equal to the current system date, the system changes the Vendor from a Pending Disqualification status to a Disqualification status. The system calculates the ReinstateDate for the vendor. The ReinstateDate is calculated by adding the DaysDisqualified in the TermDisqualification table to the current system date for the applicable record. If more than one record exists, the most recent record is applied. The calculated date is added to the ReinstateDate field in the Vendor table for the associated vendor record.

3.7 Process Peer Group Pricing

The End of Day process has two essential ways to determine the maximum prices. Firstly, it can calculate the Max Peer Group Pricing based on actual redemption information by examining a 3-month rolling average of Food Instrument data. The second option is to evaluate the Vendor's surveyed prices for food items across their peer groups. Which option End of Day runs depends on the value of the State Business Rule EOD_3MONTHROLLINGAVG.

3.7.1 Process 3 Month Rolling Average for Peer Group Pricing

An End of Day process recalculates the peer group average and maximum prices every 2 weeks based upon actual redemption to obtain a 3-month (12 week) rolling average for the peer group food instrument type or food item. This process is applicable for your state if the State Business Rule EOD_3MONTHROLLINGAVG = 'Y'.

This calculation does **not** replace the manually calculated Average Price for each food item unless EBT is enabled. The manually calculated average price for each food item is needed for state office obligations, reporting and rebates when paper FIs are issued. It does replace the manually calculated Average and Maximum Prices for the Food Instrument Type and Peer Group.

The calculation includes the ability to perform Cost Containment of Over 50% Vendors. If the State Business Rule UseCostContainmentOfOver50Vendors = "Y" then the algorithm calculates the average and maximum prices differently for the Peer Groups that have Boolean flag IsOver50 ="Y". If the State Business Rule is turned off (set to "N") then the calculation will be the same regardless of the Vendor's Peer Group.

The Calculation Details:

For all forms of Food Instruments except EBT, for Non Over 50% Vendors or when the system is configured to NOT use Cost Containment:

The system calculates the 3-month rolling average every 2 weeks by selecting issued food instruments that have been redeemed over the last 12 weeks. It will calculate the average redemption amount (the mean) within each food instrument type and vendor peer group combination and update the AvgPrice column in the PEERGROUPFOODINSTTYPEPRICE table. For each vendor peer group and food instrument type it will determine the standard deviation value (the mean of the mean) and increase the maximum price by the value set for the EOD_3MONTH_ROLLING_AVG_NBR_STD_DEVIATIONS business rule to determine the standard deviation. This information is stored in the Price column of the PEERGROUPFOODINSTTYPEPRICE table.

For all forms of Food Instruments except EBT, for Over 50% Vendors:

The system calculates a 3-month rolling Weighted Average by selecting issued food instruments that have been redeemed over the last 12 weeks. The calculation for Over 50% Vendors will evaluate the Food Instruments redeemed in all the state's Vendors excluding the Over 50% Peer Group. It will calculate the average redemption amount within each food instrument type and update the AvgPrice column in the PeerGroupFoodInstTypePrice table. The Maximum Price allowed for Over 50% Vendors is the State's Weighted Average and so the Average is also the Max Price for them. The Price column in the PeerGroupFoodInstTypePrice table is updated with the value from the AvgPrice column. The calculation will occur one day during the month as determined by the value in the State business Rule [DayToCalculateOver50VendorPrices](). The value holds the day of the month the calculation needs to occur, and the system will do it the first business day prior to that date. As an example, if the value is 20 representing the 20th day of the month and the 20th falls on a Sunday then the process will occur on Friday the 18th.

For EBT:

The system calculates the 3-month rolling average every 2 weeks by selecting redeemed EBT (electronic benefit transactions) over the last 12 weeks. It will calculate the average redemption amount (the mean) within each food item and vendor peer group combination and update the AvgPrice column in the PEERGROUPFOODITEM table. For each vendor peer group and food item it will determine the standard deviation value (the mean of the mean) and increase the maximum price by the value of one standard deviation. This information is stored in the MaxPrice column of the PEERGROUPFOODITEM table.

The AvgPrice and Price columns in the PEERGROUPFOODINSTTYPEPRICE table is updated by selecting FI with EBT redemption over the last 12 weeks, summing the peer group food item average price and max price for each food item and its quantity on the FI to set the FI Type average price and price.

3.7.2 Process Peer Group Pricing based on Surveyed Prices

An End of Day process will recalculate the peer group average and maximum prices based on the values stored in the Vendor Survey Pricing table, VendorPrice. The average vendor Food Distribution Item prices surveyed are used to calculate the Food Instrument average and maximum prices by multiplying the quantity of each Food Distribution Item across its average price and summing the total for all Items in the Food Instrument. This process is applicable for your state if the State Business Rule EOD_3MONTHROLLINGAVG = 'Y'.

This calculation will **not** replace the manually calculated Average Price for each food item unless EBT is enabled. The manually calculated average price for each food item is needed for state office obligations, reporting and rebates when paper FIs are issued. It will replace the manually calculated Average and Maximum Prices for the Food Instrument Type and Peer Group.

The calculation includes the ability to perform Cost Containment of Over 50% Vendors. If the State Business Rule UseCostContainmentOfOver50Vendors = "Y" then the algorithm will calculate the average and maximum prices differently for the Peer Groups that have Boolean flag IsOver50 ="Y". If the State Business Rule is turned off (set to "N") then regardless of the Vendor's Peer Group the calculation will be the same.

The Calculation Details:

When the system is configured to NOT use Cost Containment, or the Vendor is NOT an Over 50% Vendor:

The system calculates the AveragePrice for the Food Distribution Items inside the Peer Group for Vendors that are active and store that Average in the AveragePrice column of the PeerGroupFoodItem table. It will calculate the Maximum Price as either the Override Price or Average Price multiplied by the Peer Group's Percentage Over value as found in the Peer Group Table and store that value in the PeerGroupFoodItem table's MaxPrice column. Finally, the End of Day process expands the Average and Max prices for the specific Food Distribution Items across the quantities that make up a Food Instrument and sums the results to calculate the Food Instrument Average and Maximum Prices.

When the system is configured to use Cost Containment for Over 50% Vendors:

The End of Day process will calculate a weighted average for the vendors not in the Over 50% Peer Groups. The vendor's surveyed price will be weighed as a percentage of their sales over the last 120 days. The PeerGroupFoodItem table's MaxPrice column is populated with the weighted peer group average. And that Food Distribution Item max price is used by the End of Day process to expand the Average and Max prices for the specific Food Distribution Items across the quantities that make up a Food Instrument, sum the results to calculate the Food Instrument Average and Max Prices and update the PeerGroupFoodInstTypePrice table.

3.8 Process Reinstate Vendor and Vendor Stamp

The end of day process will reinstate vendors and vendor stamps

3.8.1 Reinstate Vendor and Vendor Stamp

The system updates all vendors, if the Reinsate.ReinstateDate is <= the current system date and the Reinstate.UpdateRecord = 'U'. The end of day process will set the Vendor.CurrentStatus = '3' (enrolled). The system updates the StatusHistory table with the change in vendor status information.

If the ReinstateVendorStamp flag = 'Y', the system updates the VendorStampHistory with the change in stamp information. The system will remove the vendor from the TermDisqualification table. The system will remove the DeactBankEffective date from the TerminateStamp table for the reinstated stamp number for the primary vendor stamp number (Vendor.StampNumber). The system will set the Reinstate.UpdateRecord = 'N' for the VendorID

3.9 Generate E-mails to All Participants with Appointments on a Future Date

The end of day process will check appointments for a certain number of days ahead (determined business rule APT_REMINDEREMAILENABLED), then automatically generate and send e-mails to all participants with appointments on the specified future date who have e-mail addresses stored in the Participant Folder on the Demographics Page 1 tab documented in *Clinic Chapter 09 – Participant Folder*. For participants who have no e-mail address stored on the Demographics Page 1 tab of the Participant folder, no e-mail will be sent.

The end of day process will also generate a note stating that an appointment reminder was e-mailed to the participant. The note will be stored on the View Notes for Household Member dialog documented in *Clinic Chapter 09 – Participant Folder*.

State agency staff will be able to modify/personalize the e-mail reminder. The format of the e-mail reminder is described in section 3.32 of this document.

3.10 Adjust/Archive/Purge Process

The End of Day process will change (or move) a participant to Agency '88' when the participant is no longer eligible for WIC. This process is applicable for your state if the State Business Rule EOD_PROCESSADJUSTMENTSHIDES = 'Y'.

3.10.1 Process Adjust Records

If EOD_ PROCESSADJUSTMENTSHIDES = 'Y', the system updates Member records to the appropriate status depending on the following criteria.

ADJUST RULES FOR EOD	ACTION
Child records over the Age defined in the State Business Rule. MaximumChildAge and not in a valid certification process.	Change to Categorically Ineligible
Women over the Age defined in the State Business Rule. MaximumWomanAge and not in a valid certification process.	Change to Categorically Ineligible
Participants who have been certified for more for more days than the value of the CertLimitWithPendingIDProof business rule without Proof of ID will be marked as terminated. Homeless participants are excluded from this process.	Mark as terminated
Participants who have been certified for more days than the value of the CertLimitWithPendingResidencyProof business rule without Proof of Residency will be marked as terminated. Homeless participants are excluded from this process	
For all WIC Categories, this is determined by validating the Member.ResidencyProof value = 'PendingResidencyProofValue" business rule and the current system date is greater than the CertLimitWithPendingResidencyProof business rule and Household.Homeless value is 'N' or null.	Mark as terminated
Participants who have been certified with pending proof of income eligibility for more days than the value of the CertLimitWithPendingIncomeProof business rule without additional income information that includes a proof of income.	
For all WIC Categories, this is determined by validating the IncomeContact.PendingProof value = 'Y' and the current system date is greater than the CertLimitWithPendingIncomeProof business rule.	Mark as terminated
Categorically ineligible participants.	Mark as terminated
Participants who have been certified with delayed blood for more days than the value of the CertLimitWithDelayedBlood	Mark as terminated
Participants who have failed to pick up food instruments for two consecutive months or have failed to re-certify for 31 days past their certification due date who are not in a new certification process	Mark as terminated

Participants who have been certified with risk factor 503 (Presumptive Eligibility) for more days than the value of the CertLimitWithRF503NoHW business rule without a height/weight measurement contact	Mark as terminated
Participants who have been certified with risk factor 503 (Presumptive Eligibility) for more days than the value of the CertLimitWithRF503NoBlood business rule without a blood work contact	Mark as terminated
Participant who have started a certification attempt but did not complete within the time allowed	
Adjust Certification Records:	
Participants with a WICSTATUS of Pregnant (P) and a certification has been started but not completed within the number of days defined in the business rule IncompCertLimitPregnant from the certification start date, the participant's certification record is changed to ineligible.	
Participants whose household record indicates he/she is a Migrant and a certification has been started but not completed within the number of days defined in the IncompCertLimitMigrant business rule from the certification start date, the participant's certification record is changed to ineligible.	
All Participants with the exception of pregnant women and immigrants, if a certification has been started but not completed within the number of days in the IncompCertLimitOther business rule from the certification start date, the participant's certification record is changed to ineligible.	Change certification to ineligible and queue Ineligibility notice
Infant to a child when the infant reaches his or her first birthday unless they are currently in a new certification attempt. A pseudo-certification record will be created for the child, and all applicable risk factors will be carried forward from infant to the child pseudo-certification record.	Change WIC Category from I to C
Synchronize the certification information in the Member table to the certification information in the CertContact table when the current certification start date is greater than the certification start date in the Member table.	Update the Member table with the CertContact information.
Update the Valid Certification flag when the participant is no longer in a valid certification	Update Valid Certification flag
Reset all On Premises times for the household members	Reset OnPremisesTime in Member Record

3.11 Process Archive Records

The End of Day Process automatically archives records by changing the Agency ID in the Member table to '88'. Agency '88' is used to indicate the member is archived from the active system and will not be visible to the user in the Service Site Application. The member is used for historical reporting, and is not used for current reporting.

ARCHIVE RULES FOR EOD	ACTION
Participants who have not been back for 60 days after applying for WIC	Move to agency '88'
Participant was terminated more than 6 months ago and has not been serviced and they are not currently in a new certification attempt.	Move to agency '88'
Participant whose last certification attempt was ineligible more than 6 months ago and has not been serviced.	Move to agency '88'

3.11.1 Process Purge Records

The End of Day Process automatically archives records by deleting them from the system database.

PURGE RULES FOR EOD	ACTION
Purge Household records that have no members	Delete Household record
Purge Event Logs older than 14 days.	Delete EventLog records
Purge Business Hours Older than 90 days	Call Appointment Scheduler Purge
Purge Appointments at least 3 months old	Call Appointment Scheduler Purge
Purge Class Enrollments older than 7 months	Call Appointment Scheduler Purge
Purge Group Education Classes older than 7 months	Call Appointment Scheduler Purge
Purge Holidays older than 90 days	Call Appointment Scheduler Purge

3.12 Send/Receive External Files Process (FTP)

If your state has both Covansys front-end and back-end system the End of Day process will run FTP processes to Send/Receive external files. This process is applicable for your state if the State Business Rule EOD_SENDRECEIVEEXTERNALFILES = 'Y'. Refer to Chapter 07 - Send_Receive (FTP or Dialup) (EOD).doc for more information on this process.

3.13 Import Files

Files created for import to the COVANSYS system are placed in the required directories by the COVANSYS system, an external system, or the user. Some files are received for the sole purpose of exchanging data with systems that do not have the COVANSYS front-end applications. The function of moving, copying, backing up, and archiving all import files is a manual function performed by the user. The COVANSYS system will then import all files according to the State Business Rules. The registry key for the import file directory is HKEY_LOCAL_MACHINE\SOFTWARE\PDA\ <STATE>VENDOR\VendorEOD\ReceiveFromDirectory

3.14 Import Issuance File Process

The End of Day process will import Food Instrument Issuance data from an ASCII file format. This process is applicable for your state if the State Business Rule EOD_ISSUANCEFILEIMPORT = 'Y'.

3.14.1 Process Issuance File

If EOD_ ISSUANCEFILEIMPORT = 'Y' and an Issuance file is located in the **\\<STATECODE>EOD\ISSUANCE\ directory,** the End of Day Process will Add/Update the Issuance data in the associated Food Instrument tables. Refer to Chapter 05 – Banking Files (ASCII) (EOD).doc for specifics on the ASCII file layout. If an import file is found then it will be processed, if not the process is bypassed. If multiple import files are found for a process then the import files will be processed in order from oldest to newest based on import file date and time stamp. Import files are renamed after processing so they will not be processed more than once.

3.15 Import Banking Paid File

The End of Day process will import Banking Paid data from an ASCII file format. This process is applicable for your state if the State Business Rule EOD_BANKINGPAIDFILEIMPORT = 'Y'.

3.15.1 Process Banking Paid File

If EOD_BANKINGPAIDFILEIMPORT = 'Y' and a Banking Paid file is located in the **\\<STATECODE>EOD\BANKING\ directory,** the End of Day Process will Add/Update Food Instrument Paid/Rejected data in the associated Food Instrument tables. Refer to Chapter 05 – Banking Files (ASCII) (EOD).doc for specifics on the ASCII file layout. If an import file is found then it will be processed, if not the process is bypassed. If multiple import files are found for a process then the import files will be processed in order from oldest to newest based on import file date and time stamp. Import files are renamed after processing so they will not be processed more than once.

3.16 Import UPC/PLU Redemption File

The End of Day process will import EBT UPC/PLU Redemption data from an ASCII file format.

3.16.1 Process Redemption File

If any site is EBT enabled (Electronic Benefit Transfer), and if a UPC/PLU Redemption file is located in the inbound folder from COMMREQUEST where the process name is JPM and the system name is JPMTRANSSPIRITFTP, the End of Day Process will Add/Update the Redemption data in the associated FoodInstrumentItemRedeemed table. Refer to Chapter 05 – Banking Files for specifics on the ASCII file layout. If an import file is found then it will be processed, if not the process is bypassed. If multiple import files are found for a process then the import files will be processed in order from oldest to newest based on import file date and time stamp. Import files are renamed after processing so they will not be processed more than once.

3.17 Import WIC Activity File

The End of Day process will import EBT transaction data from an ASCII file format.

3.17.1 Process Redemption File

If any site is EBT enabled (Electronic Benefit Transfer), and if a WIC Activity file is located in the inbound folder from COMMREQUEST where the process name is JPM and the system name is JPMTRANSSPIRITFTP, the End of Day Process will Add/Update the transaction data in the associated EbtWicActivity table. Refer to Chapter 05 – Banking Files for specifics on the ASCII file layout. If an import file is found then it will be processed, if not the process is bypassed. If multiple import files are found for a process then the import files will be processed in order from oldest to newest based on import file date and time stamp. Import files are renamed after processing so they will not be processed more than once.

3.18 Import Vendor Activity File

The End of Day process will import EBT vendor activity data from an ASCII file format.

3.18.1 Process Redemption File

If any site is EBT enabled (Electronic Benefit Transfer), and if a Vendor Activity file is located in the inbound folder from COMMREQUEST where the process name is JPM and the system name is JPMTRANSSPIRITFTP, the End of Day Process will Add/Update the transaction data in the associated EbtVendorActivity table. Refer to Chapter 05 – <u>Banking Files</u> for specifics on the ASCII file layout. If an import file is found then it will be processed, if not the process is bypassed. If multiple import files are found for a process then the import files will be processed in order from oldest to newest based on import file date and time stamp. Import files are renamed after processing so they will not be processed more than once.

3.19 Import Expired Benefit File

The End of Day process will import information about EBT Benefits that have expired on the day in question data from an ASCII file format.

3.19.1 Process Redemption File

If any site is EBT enabled (Electronic Benefit Transfer), and if a Expired Benefit file is located in the inbound folder from COMMREQUEST where the process name is JPM and the system name is JPMTRANSSPIRITFTP, the End of Day Process will Add/Update the transaction data in the associated FoodInstrumentItemDetail table. Refer to Chapter 05 – <u>Banking Files</u> for specifics on the ASCII file layout. If an import file is found then it will be processed, if not the process is bypassed. If multiple import files are found for a process then the import files will be processed in order from oldest to newest based on import file date and time stamp. Import files are renamed after processing so they will not be processed more than once.

3.20 Import Food Instrument File

SOAP/XML import for the Food Instrument file is no longer applicable.

3.21 Export Files

The files created by the COVANSYS system are placed in specific directories for the user to locate. Some files are generated for the sole purpose of exchanging data with systems that do not have the COVANSYS front-end applications. The function of moving, copying, backing up, and archiving all export files is a manual function performed by the user. The registry key for the export file directory is HKEY_LOCAL_MACHINE\SOFTWARE\PDA<STATE> VENDOR\VendorEOD\SendToDirectory.

3.22 Export Banking Price File

The End of Day process will export Peer Group Pricing data to an ASCII file format. This process is applicable for your state if the State Business Rule <u>EOD_BANKINGPRICEFILEEXPORT</u> = 'Y'.

3.22.1 Create Banking Price File

If EOD_BANKINGPRICEFILEEXPORT = 'Y', the End of Day Process will export the Peer Group Food Instrument Type Price data to an ASCII flat file. The file naming convention is <STATECODE>BP######.TXT and is stored in the **<STATECODE>EOD\BANKING directory**. Refer to Chapter 05 - Banking Files (ASCII) (EOD).doc for specifics on the ASCII file layout.

3.23 Export Banking Stamp File

The End of Day process will export Vendor Stamp data to an ASCII file format. This process is applicable for your state if the State Business Rule EOD_BANKINGSTAMPFILEEXPORT = 'Y'.

3.23.1 Create Banking Stamp File

If EOD_BANKINGSTAMPFILEEXPORT = 'Y', the End of Day Process will export the Vendor Stamp data to an ASCII flat file. The file naming convention is <STATECODE>BS######.TXT and is stored in the **<STATECODE>EOD\BANKING directory**. Refer to Chapter 05 - Banking Files (ASCII) (EOD).doc for specifics on the ASCII file layout.

3.24 Export Banking Vendor File

The End of Day process will export Vendor demographics data to an ASCII file format. This process is applicable for your state if the State Business Rule EOD_BANKINGVENDORFILEEXPORT = 'Y'.

3.24.1 Create Banking Vendor File

If EOD_BANKINGVENDORFILEEXPORT = 'Y', the End of Day Process will export the Vendor demographics data to an ASCII flat file. The file naming convention is <STATECODE>BV######.TXT and is stored in the **<STATECODE>EOD\BANKING directory**. Refer to Chapter 05 - Banking Files (ASCII) (EOD).doc for specifics on the ASCII file layout.

3.25 Export Banking New FI Issuance File

The End of Day process will export New FI Issuance data to an ASCII file format. This process is applicable for your state if the State Business Rule EOD_BANKINGISSUANCEFILEEXPORT = 'Y'.

3.25.1 Create Banking New FI Issuance File

If EOD_BANKINGISSUANCEFILEEXPORT = 'Y', the End of Day Process will export the New Food Instrument Issuance Bank data to an ASCII flat file. The file naming convention is <STATECODE>BI######.TXT and is stored in the **<STATECODE>EOD\BANKING**. Refer to Chapter 05 - Banking Files (ASCII) (EOD).doc for specifics on the ASCII file layout.

3.26 Export Banking FI Stop Payment File

The End of Day process will export the FI Stop Payment data to an ASCII file format. This process is applicable for your state if the State Business Rule EOD_BANKINGSTOPPAYFILEEXPORT = 'Y'.

3.26.1 Create Banking FI Stop Payment File

If EOD_BANKINGSTOPPAYFILEEXPORT = 'Y'**,** the End of Day Process will export the Food Instrument Stop Payment Bank data to an ASCII flat file. The file naming convention is <STATECODE>BY######.TXT and is stored in the **<STATECODE>EOD\BANKING directory**. Refer to Chapter 05 - Banking Files (ASCII) (EOD).doc for specifics on the ASCII file layout.

3.27 Export Vendor File

The End of Day process will export the Vendor demographics data to an XML file format using SOAP methods. This process is applicable for your state if the State Business Rule EOD_VENDORFILEEXPORT = 'Y'.

3.27.1 Create Vendor File

If EOD_ VENDORFILEEXPORT = 'Y'**,** the End of Day Process will export the Vendor Demographics data to an XML file. The file is stored in the **<STATECODE>EOD\VENDOR\REQUEST directory**. Refer to Chapter 06 - SOAP_XML Files (EOD).doc for specifics on the XML file layout.

3.28 Export Over 50% Vendor Pricing Report

The End of Day process will export the Over 50% Vendor Pricing Report as an Excel document. This process is applicable for your state if the State Business Rule UseCostContainmentOfOver50Vendors is "Y".

3.28.1 Create Over 50% Vendor Pricing Report

If UseCostContainmentOfOver50Vendors = 'Y'**,** the End of Day Process will export the New Over 50% Vendor Pricing Report to an Excel Document. The file naming convention is <STATECODE>PR######.XLS and is stored in the **<STATECODE>EOD\BANKING** folder. The excel document will contain 2 columns of information. The first column is a list of Food Distribution Items that make up a Food Instrument Type and the other column is the Maximum Price a check with those components can be paid.

3.29 Process CDC File

If a CDC file exists in the C:\WICCDCFiles\ Subfolders: Pediatric or
Pregnancy, the End of Day process will submit the files as defined by the
information listed in the COMMREQUEST table. If the SENDEMAIL value is
'Y' in the COMMREQUEST table then E-Mail will be sent along with the files to
notify the CDC that the files were sent. If the SENDEMAIL value is "N" then
the files are sent but no E-Mail notification is sent

3.30 Export Dual Participation File

This process is applicable for your state if the State Business Rule
EOD_EXTERNALDUALPARTICIPATION = 'Y'.

The Export Dual Participation File process is used to transmit the external dual
participation file generated by the End of Month process as described in
Application Administration Chapter 04 - End of Month Processes.

If an external dual participation file exists in the **<STATECODE>EOD
ExtDualPart** directory, the End of Day process will submit the file using one
of the two following methods.

- If the State Business Rule
  EOD_DUALPARTICIPATIONTRANSMETHOD = '1' then the file is
  transmitted as specified in Application Administration Chapter 07 -
  Send_Receive (FTP or Dialup) (EOD).

  The information listed in the COMMREQUEST table controls how the
  file is transmitted. If the SENDEMAIL value is 'Y' in the
  COMMREQUEST table then e-mail will be sent to notify the recipient(s)
  when the file is sent.

- If the State Business Rule
  EOD_DUALPARTICIPATIONTRANSMETHOD = '2' then the file is
  transmitted via e-mail.

  NOTE: If the State Business Rule
  EOD_DUALPARTICIPATIONTRANSMETHOD = '0' then the file is NOT
  transmitted.

Once the file is transmitted, it is moved to the **C:\<STATECODE>EOD
ExtDualPart\Sent** directory to archive it.

3.31 Calculations for computing 3 Month Rolling Average

3.31.1 Paper FIs Food Instrument Type Average and Maximum Price

Sum the paid amounts from FIs redeemed over the last twelve weeks (today
minus twelve weeks).

Caveats: The goal is to cover all WIC approved food benefits issued on the
FI. The clients are instructed to select least expensive items and the vendors
are trained accordingly. At one standard deviation, the paper FI Type food
items really need to be grouped on a single FI in a manner such that the
items are habitually redeemed in full more often than not. At one standard
deviation, if the 50% clients are consistently not redeeming the entire
amount of fish, fruits/vegetables, and beans then it is possible that the
maximum price could fall short for the client who redeems the full set of full
food benefits on the FI. This grouping of food benefits on a single FI to
support the max price at the bank will be covered in training.

We may need to provide a variable allowing the user to choose a 1, 2, or 3 standard deviations to apply. By mathematical convention, applying one standard deviation of its average, 68.3% of your dataset is generally included. At two standard deviations, 95.4% within plus/minus these two standard deviations of your average is generally included. At three standard deviations, 99.7% of your price data is generally included.

3.31.2 EBT Food Item Type Average and Maximum Price

Sum the paid amounts from EBTs (FICs) redeemed over the last twelve weeks (today minus twelve weeks).

Caveats: The goal is to cover all WIC approved food benefits. The clients are instructed to select least expensive items and the vendors are trained accordingly. One standard deviation may well cover the prices at the food item level. It depends upon how disparate the price variance is in the WIC approved manufacturers products, the generic milk and juice compared to the WIC approved name brands.

We may need to provide a variable allowing the user to choose a 1, 2, or 3 standard deviations to apply. By mathematical convention, applying one standard deviation of its average, 68.3% of your dataset is generally included. At two standard deviations, 95.4% within plus/minus these two standard deviations of your average is generally included. At three standard deviations, 99.7% of your price data is generally included.

3.31.3 Calculation

Calculate Pricing:

Average Price = Mean Redemption Amount over twelve weeks

Maximum Price = Redemption Amount over twelve weeks plus one standard deviation

Normal Distribution of Data:

A normal distribution of data means that most of the examples in a set of data are close to the "average," while relatively few examples tend to one extreme or the other.

Standard Deviation: A measure describing how close members of a data set are in relation to each other. The standard deviation is kind of the "mean of the mean" (average variance of an average), and often can help you find a pattern in the data. The standard deviation can be found by taking the square root of the variance. If the variance is 25, the standard deviation is 5.

Square Root: One of two equal factors of a given number. For example, 5 is a square root of 25 because 5*5 = 25. Another square root of 25 is -5 because (-5)*(-5) = 25. The +5 is called the principle square root of 25.

Two Variance Methods:

- biased variance and standard deviation

- unbiased variance and standard deviation

Biased or Unbiased Variance Method:

For the Unbiased Method = Divide the result by the count of items in the set of data minus 1 item (standard variance value)

For the Biased Method = Divide the result by the count of items in the set of data (forcing a result of a lower variance value or a deviated variance)

The Unbiased Variance method provides a common deviation value. You should use the Unbiased Method, because it is the standard default method, unless there is a business reason to understand and use a deviated variance

In both variance method examples in the document, you begin with all three items in the data set count to produce the mean or average value.

To determine the biased variance value, use the full count of the items in the dataset that were used to calculate the mean (average). Because the Biased Variance Method results in a lower variance value (a deviated rate below the standard variance), the dataset count is not reduced by one.

Terms Used:

X = One value in the set of data

  (The redeemed amount)

Avg(X) = The average of all the values x in your set of data, the mean

- Paper FIs: (the sum of the redeemed amounts for the last twelve weeks by peer group and food instrument type)

- EBT: (the sum of the redeemed amounts for the last twelve weeks by peer group and food item)

n = the number of values (item count) in the set of data

Business Rules:

A State Business Rule defines the number of standard deviation to apply to the mean. If the State Business Rule EOD_3MONTH_ROLLING_AVG_NBR_STD_DEVIATIONS= '1' then one standard deviation is applied.

A State Business Rule defines the variance method use when calculating the standard deviation. If the State Business Rule EOD_3MONTH_ROLLING_AVG_VARIANCE_METHOD= 'B' then the biased variance method is applied.

Formula Used:

- Count the number of items in the set of data for the beginning value of n.

- Find the average value of all items in the set of data. Average Price = Mean Redemption Amount over twelve weeks

- For each value x, subtract the overall avg (x) from each x. When result is negative it means that x is below the mean.

- Multiply that result by itself (otherwise known as determining the square of that value). The result is positive.

- Sum up all those positive squared values.

- For the Biased Method = Divide that result by (n).

- For the Unbiased Method = Divide that result by (n-1).

- Find the square root of that last number, the variance, for the value of the standard deviation of your set of data. The standard deviation is the positive square root of the variance, the mean of the mean.

- **Maximum Price** = **Average Price** plus one standard deviation.

For the data set example {1, 2, 3} there are a total of three items in the set of data, therefore the value of n begins at 3

- n=3 for the total of three items in the set of data

- 1+2+3 = 6 for the total of the value of all items in the set of data
  6 / 3 = 2 to find the average value of the set of data

- 1-2 = -1; 2-2 = 0; 3-2 = 1

- -1 * -1 = 1; 0 * 0 = 0; 1 * 1 = 1

- 1 + 0 + 1 = 2

- Biased Method: 2 / 3 = .666666666 or .667

- Unbiased Method: 2 / 2 = 1

- Biased Method: the square root of .667 is .8168 rounded to 82 cents
  Unbiased Method: the square root of 1 is 1

- Biased Method: 2 + .82 = 2.82 (results in a lower variance value)
  Unbiased Method: 2 + 1 = 3 (results in a standard variance value)

The **biased** variance is:

$$\frac{(1-2)^2 + (2-2)^2 + (3-2)^2}{(3)} = .666666666 \text{ or } .667$$

The standard deviation is the square root of the biased variance, which equals:

$$\sqrt{0.667} = .8168$$

The mean plus one standard deviation for the biased variance equals:

$$2 + .8168$$

The **unbiased** variance is:

$$\frac{(1\text{-}2)2 + (2\text{-}2)2 + (3\text{-}2)2}{(3\text{-}1)} = 1$$

The standard deviation is the square root of the unbiased variance, which equals:

$$\sqrt{1} = 1$$

The mean plus one standard deviation for the unbiased variance equals:
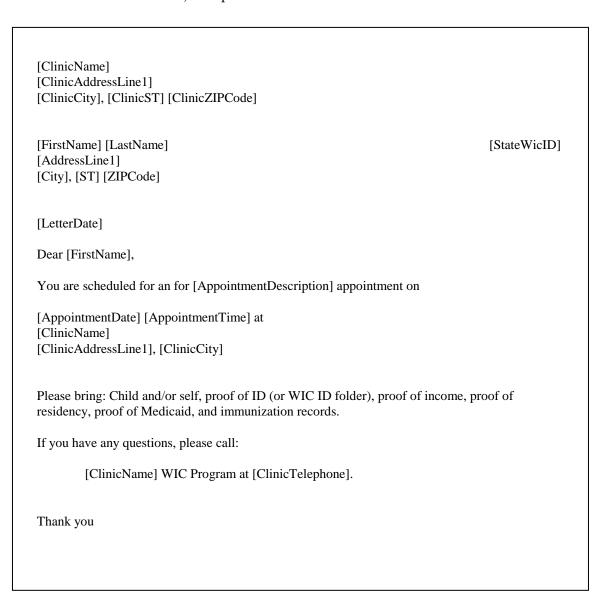
2 + 1

3.32 Appointment Reminder E-mail (Output)

This e-mail is generated to notify a client of an appointment that she is scheduled to attend. The e-mail appointment reminder is generated and sent automatically by the End of Day Process when the APT_REMINDEREMAILENABLED business rule is "Y".

3.32.1 Merged fields

Merged fields within the e-mail text are represented in this document by descriptive text within square brackets ([ ]). Each merged field will generate as its literal value, except where noted.

<div style="border:1px solid black; padding:1em;">

[ClinicName]
[ClinicAddressLine1]
[ClinicCity], [ClinicST] [ClinicZIPCode]

[FirstName] [LastName]   [StateWicID]
[AddressLine1]
[City], [ST] [ZIPCode]

[LetterDate]

Dear [FirstName],

You are scheduled for an for [AppointmentDescription] appointment on

[AppointmentDate] [AppointmentTime] at
[ClinicName]
[ClinicAddressLine1], [ClinicCity]

Please bring: Child and/or self, proof of ID (or WIC ID folder), proof of income, proof of residency, proof of Medicaid, and immunization records.

If you have any questions, please call:

      [ClinicName] WIC Program at [ClinicTelephone].

Thank you

</div>

Appointment Reminder E-mail – English Version

[ClinicName]
[ClinicAddressLine1]
[ClinicCity], [ClinicST] [ClinicZIPCode]

[FirstName] [LastName]   [StateWicID]
[AddressLine1]
[City], [ST] [ZIPCode]

[LetterDate]

[FirstName] Querido,

Su cita para [AppointmentDescription] ha sido programada para:

[AppointmentDate] [AppointmentTime] en
[ClinicName]
[ClinicAddressLine1], [ClinicCity]

Por favor traiga: Su comprobación de ID (identificación) y/o la de su niño (o la carpeta que tiene el ID del WTC), comprobación de ingresos, comprobación de residencia, comprobación de Medicaid y los registros de vacunación, si usted tiene todo esto tráigalo a todas sus citas.

Si usted tiene alguna pregunta, por favor llame al:

     [ClinicName] WIC Program en [ClinicTelephone].

Gracias

3.32.2 Data Elements

This section describes the data elements that will be contained within the e-mail.

3.32.2.1 ClinicName (Letter Format)

3.32.2.1.1 Origin of Data Element
The value will be taken from Agency.Name.

3.32.2.1.2 Format
The value will print as its literal value.

3.32.2.2 ClinicAddressLine1 (Letter Format)

3.32.2.2.1 Origin of Data Element
The value will be taken from Agency.Address.

3.32.2.2.2 Format
The value will print as its literal value.

3.32.2.3 ClinicCity (Letter Format)

3.32.2.3.1 Origin of Data Element
The value will be taken from Agency.City.

3.32.2.3.2 Format
The value will print as its literal value.

3.32.2.4 ClinicST (Letter Format)

3.32.2.4.1 Origin of Data Element
This value is taken from the state code defined in the system registry.

3.32.2.4.2 Format
The value will print as its literal value.

3.32.2.5 ClinicZIPCode (Letter Format)

3.32.2.5.1 Origin of Data Element
The value will be taken from the Agency.Zipcode.

3.32.2.5.2 Format
The value will print in #####-#### format.

3.32.2.6 FirstName (Letter Format)

3.32.2.6.1 Origin of Data Element
The value will be taken from the Member.FirstName.

3.32.2.6.2 Format
The value will print as its literal value.

3.32.2.7 LastName (Letter Format)

3.32.2.7.1 Origin of Data Element
The value will be taken from the Member.LastName.

3.32.2.7.2 Format
The value will print as its literal value.

3.32.2.8 StateWICID (Letter Format)

3.32.2.8.1 Origin of Data Element
The value will be taken from the Member.StateWICID.

3.32.2.8.2 Format
The value will print as its literal value.

3.32.2.9 AddressLine1 (Letter Format)

3.32.2.9.1 Origin of Data Element
The value will be taken from the Household.MailAddress.

3.32.2.9.2 Format
The value will print as its literal value.

3.32.2.10 City (Letter Format)

3.32.2.10.1 Origin of Data Element
The value will be taken from the Household.MailCity.

3.32.2.10.2 Format
The value will print as its literal value.

3.32.2.11 ST (Letter Format)

3.32.2.11.1 Origin of Data Element
The value will be taken from the Household.MailState.

3.32.2.11.2 Format
The value will print as its literal value.

3.32.2.12 ZIPCode (Letter Format)

3.32.2.12.1 Origin of Data Element
The value will be taken from the Household.MailZIP.

3.32.2.12.2 Format
The value will print in #####-#### format.

3.32.2.13 LetterDate

3.32.2.13.1 Origin of Data Element
The source of this value will be the current system date.

3.32.2.13.2 Format
The value will print in {textual month} {day}, {year} format.

3.32.2.14 AppointmentDescription

3.32.2.14.1 Origin of Data Element
The value will be taken from the AppointmentType.Description.

3.32.2.14.2 Format
The value will print as its literal value.

3.32.2.15 AppointmentDate

3.32.2.15.1 Origin of Data Element
The value will be taken from the Appointment.AppointmentDate.

3.32.2.15.2 Format
The value will print in {textual name of day of week}, {textual month} {day}, {year} format.

3.32.2.16 AppointmentTime

3.32.2.16.1 Origin of Data Element
The value will be taken from the Appointment.AppointmentTime.

3.32.2.16.2 Format
The value will print in HH:MM {AM/PM} format.

3.32.2.17 ClinicTelephone

3.32.2.17.1 Origin of Data Element

The value will be taken from the Agency.Telephone.

3.32.2.17.2 Format

The value will print in the format ###-###-####.

3.32.3 Filter Criteria

3.32.3.1 Appointments Occurring on a Future Date (Batch Production)

An appointment notice document will be generated and sent automatically by the End of Day Process for appointments with an appointment date equal to or greater than the current system date.

3.33 Apply State Agency High Risk Criteria

The Apply State Agency High Risk Criteria process is used to calculate and apply state agency high risk criteria for vendors. The process examines each vendor to determine if the vendor meets each high risk criterion where the AutoAssign value of the HighRiskVendorCriteria table is equal to 'Y'. Each criterion that a vendor meets will be recorded for that vendor.

When a high risk criterion is recorded for a vendor, a High Risk event is also recorded for the vendor. The High Risk event is recorded with the current date as the Date of Event and the criterion description (HighRiskVendorCriteria.Description) as the Event Description.

At the end of each fiscal year, all risk factors recorded for all vendors are removed.

The high risk criteria are managed through the Reference Database Utility application as described in Application Administration Chapter 09 - Reference Utility.

3.33.1 High Risk Criteria

Description
Low Variance: Unusually small amount of variation (variance) in WIC check prices by vendor
Low Variance: Unusually large percentage of WIC checks redeemed at the same price or within a narrow price range by vendor.
High Mean: Usually high average WIC check price by vendor.
High Mean: Vendor's redeemed prices higher than his price list.
High Mean: Usually large percentage of high price WIC checks by vendor.
Volume: Unusually large or small WIC business by vendor.
Volume: Unusually large increase in dollar volume of WIC checks redeemed over time by vendor.
Volume: Unusually large percentage of the area's total WIC redemptions.
Volume: WIC sales as an unusually high percentage of total sales by vendor
Volume: WIC and Food Stamp sales as an unusually high percentage of total sales by vendor.
Volume: High WIC to Food Stamp redemption ratio.
Participant: Participant complaints or complaints from the WIC clinics or other vendors
Participant: Unusually large number of participants redeeming WIC checks outside of their health service area by vendor.
Participant: Unusually large number of participants considered to be at high health risk redeeming WIC checks with vendor.
Other: Unusually large percentage of manually issued WIC checks by vendor.
Other: Unusually large number of WIC checks with consecutive serial numbers by vendor.
Other: New Vendor

3.34 Create Category/Sub-category File

The J. P. Morgan (JPM) format for the Category/Sub-category file is used for outbound communication from the SPIRIT system to the JPM Electronic Benefits Transfer (EBT) system. The following tables describe the data fields that make up the file and the SPIRIT database tables and columns where the data originates.

Category/Subcategory Header

Field #	Description	Details
1	Record Type	"HD"
2	Transaction Type	"CKWCSB"
3	Date	CCYYMMDD
4	Time	HHMMSSSS
5	Control Number	9 digit number incremented by 1 on each submission
6	WIC Program ID	"CK"
7	Filler	58 spaces
8	Error Code	4 spaces
9	Response Code	"0000"

Category/Subcategory Detail

Field #	Description	Details
1	Record Type	"DT"
2	Action Code	"01" Activate "02" Deactivate
3	WIC Program Item Code	
4	Category Number	EBT Cat/Sub-cat table's Category Code
5	Sub-Category Number	EBT Cat/Sub-cat table's Sub-category Code
6	Unit of Measure	EBT Cat/Sub-cat table's Unit Of Measure Code
7	Shopping List Description	EBT Cat/Sub-cat table's Sub-category Description
8	Rebate Flag	Y is a rebate item, N is not.
9	NIT	011, identifies Chickasaw Nation
10	Expire Date	0s for unknown
11	Profile Number	500030011, identifies Chickasaw Nation
12	Reduction Indicator	0 default, 1 voucher, 2 CVB
13	Effective Date	0s for unknown
14	Error Code	4 spaces
15	Response Code	"0000"

Category Subcategory Trailer

Field #	Description	Details
1	Record Type	"TR"
2	Transaction Type	"CKWCSB"
3	Date	CCYYMMDD, same as header
4	Time	HHMMSSSS, same as header
5	Control Number	9 digit number incremented by 1 on each submission, same as header
6	Total Detail Records	Count
7	Filler	54 spaces
8	Error Code	4 spaces
9	Response Code	"0000"

3.35 Create Approved Product List (APL) File

The J. P. Morgan (JPM) format for the Approved Product List (APL) file is used for outbound communication from the SPIRIT system to the JPM Electronic Benefits Transfer (EBT) system. The following tables describe the data fields that make up the file and the SPIRIT database tables and columns where the data originates.

APL Header

Field #	Description	APL Header
1	Record Type	"HD"
2	Transaction Type	"CKWUPC"
3	Date	CCYYMMDD
4	Time	HHMMSSSS
5	Control Number	9 digit number incremented by 1 on each submission
6	WIC Program ID	"CK"
7	Filler	388 spaces
8	Error Code	4 spaces
9	Response Code	"0000"

APL Detail

Field #	Description	APL Detail
1	Record Type	"DT"
2	Action Code	"01" Activate "02" Deactivate
3	UPC/PLU Indicator	"U" UPC "P" Price Lookup
4	UPC/PLU Number	UPC from SPIRIT's UPC table
5	Product Description	UPC Description from the Authorized UPC table.
6	Unit of Measure	Unit Of Measure Code from SPIRIT's UPC table
7	Manual Auth Hold Ind.	Manual Authorized Hold Code, Y or N
8	Category	2 character EBT cat code
9	Subcategory	3 character EBT subcat code
10	Quantity	5 characters in 999v99 format, 2 implied decimals
11	Peer Group #1 ID	A peer group number
12	Peer Group #1 Max Price	MAR for this UPC in the Peer Group
13	Peer Group #2 ID	Second peer group number
14	Peer Group #2 Max Price	MAR for this UPC in the second Peer Group
15-52	Peer Group #3 thru #21	The pairs of ID and Max Price for the next 19 PGs.
53	Number of Peer Groups	A count of the active Peer Groups
54	NIT	011, identifies Chickasaw Nation
55	Expire Date	End Date in SPIRIT's UPC table, 0s if unknown
56	Profile Number	500030011, identifies Chickasaw Nation
57	Weight Calculation	0 qty applied as units, 1 qty applied as weight, CVB
58	Reduction Indicator	0 default, 1 voucher, 2 CVB
59	Effective Date	Start Date in SPIRIT's UPC table, 0s if unknown
60	Rebate Flag	Y is a rebate item, N is not.
61	Filler	140 spaces
62	Error Code	4 spaces
63	Response Code	"0000"

APL Trailer

Field #	Description	APL Trailer
1	Record Type	"TR"
2	Transaction Type	"CKWUPC"
3	Date	CCYYMMDD, same as header
4	Time	HHMMSSSS, same as header
5	Control Number	9 digit number incremented by 1 on each submission, same as header
6	WIC Program ID	"CK"
7	Filler	388 spaces
8	Error Code	4 spaces
9	Response Code	"0000"

3.36 Transmit UPC Data to JPM

The J.P. Morgan (JPM) Electronic Benefits Transfer (EBT) system receives Category/Sub-Category, UPC, and Peer Group MAR data from the SPIRIT system via a batch file transmissions.

When the file is transmitted to the batch file interface directory, an entry is made in the Batch Process table to record the Last Transmitted Date and Time. If the End of Day process executes and the Modify Dates and Times of the MAR, UPC and Cat-Subcat database tables don't indicate a change since the Last Transmitted Date and Time, then a null file is transmitted (A file named correctly but with no data). The receipt of a null file tells the JPM EBT system that the batch process is still working but no data has changed.

NOTE: This process can be triggered within the Reference Utility module of the SPIRIT system. When the file is transmitted on-demand from within the Reference Utility, the files are resubmitted regardless of the Last Transmitted Date and Time. This allows the Vendor Manager to add or modify a UPC definition from within SPIRIT and immediately transmit the change to the JPM EBT system.

3.37 Create Authorized Vendor File

The J. P. Morgan (JPM) format for the Authorized Vendor file is used for outbound communication from the SPIRIT system to JPM Electronic Benefits Transfer (EBT) system. The following tables describe the data fields that make up the file and the SPIRIT database tables and columns where the data originates.

Vendor Header

Field #	Description	Details
1	Record Type	"HD"
2	Transaction Type	"CKWVEN"
3	Date	CCYYMMDD
4	Time	HHMMSSSS
5	Control Number	9 digit number incremented by 1 on each submission
6	WIC Program ID	"CK"
7	Filler	308 spaces
8	Error Code	4 spaces
9	Response Code	"0000"

Vendor Detail

Field #	Description	Details
1	Record Type	"DT"
2	Action Code	"01" Activate "02" Deactivate
3	Vendor Number	Vendor table's Vendor ID
4	Vendor Name	Vendor table's Trade Name
5	Peer Group ID	Vendor table's Peer Group
6	Filler	4 spaces
7	Address Line 1	Vendor table's Physical Address 1
8	Address Line 2	Vendor table's Physical Address 2
9	City	Vendor table's Physical City
10	State	Vendor table's Physical State Code
11	Zip	Vendor table's Physical Zip
12	Corporate Name	Corporate Parent table's Name
13	Contact Name	Corporate Parent table's Authorized Agent Name
14	Mailing Address Line 1	Vendor table's Mailing Address 1
15	Mailing Address Line 2	Vendor table's Mailing Address 2
16	Mailing City	Vendor table's Mailing City
17	Mailing State	Vendor table's Mailing State Code
18	Mailing Zip	Vendor table's Mailing Zip
19	Site Phone Number	Vendor table's Telephone
20	Contact Phone Number	Corporate Parent table's Telephone
21	Profile Number	500030011
22	NIT	011
23	BIN	606316
24	Effective Date	CCYYMMDD
25	Deactivation Date	4 spaces
26	Commissary Flag	"0000"
27	Region	Vendor L.A. Association table's Agency ID
28	County	Vendor table's County Code
29	Clinic	Will not utilize
30	Filler	18 spaces
31	Error Code	4 spaces
32	Response Code	"0000"

Vendor Trailer

Field #	Description	Details
1	Record Type	"TR"
2	Transaction Type	"CKWVEN"
3	Date	CCYYMMDD, same as header
4	Time	HHMMSSSS, same as header
5	Control Number	9 digit number incremented by 1 on each submission, same as header
6	Total Detail Records	Count
7	Filler	304 spaces
8	Error Code	4 spaces
9	Response Code	"0000"

3.38 Transmit Authorized Vendor File to JPM

The J.P. Morgan (JPM) Electronic Benefits Transfer (EBT) system receives a list of WIC Vendors and their data from the SPIRIT system via a batch file transmission.

When the file has been transmitted to the batch file interface directory, the Last Transmitted Date and Time are recorded in the Batch Process table. If the End of Day process executes and the modify date time of the Vendor interface data does not indicate a change since the Last Transmitted Date and Time then a null file is transmitted. (A file named correctly but with no data.) This tells the EBT system that the batch process is still working but that no data has changed.

Various Vendor data elements are used to determine whether or not a modification needs to be communicated. If any of the following data elements change, the file transmission will be triggered: suspensions, reactivation of suspended vendors, terminations, changes in demographic info, changed to EBT readiness, a new applicant, new signature page, etc.

3.39 Calculate UPC Maximum Allowable Reimbursement (MAR) Values

The system calculates the MAR values for all UPCs. If any of the newly calculated MAR values require manual oversight (Outside maximum tolerance and so on) the system sends the vendor manager an e-mail notification.

MAR values are periodically calculated, and the period is a variable. The periods Peer Group mean and standard deviation of claimed amounts are examined and automatically establish the new effective MAR for most UPCs as the Peer Group average plus X standard deviations. The X is an adjustable variable of the system. This establishes the MAR at a value where, statistically, 96% of all claimed prices fall below. Because the formula fails to perform well where the population size is small, when a minimum population quantity, another variable, is not met, the formula instead uses the larger Category-Subcategory population with the same formula. If Category-Subcategory population is not large enough, which could occur for certain formula items, then a new MAR is not established and the old value remains unchanged. The Category-Subcategory population is another adjustable variable.

If the national UPC file definition contains a "Generic Product" indicator then all generic foods are evaluated at the Subcategory Level. Since Homeland's is the only vendor to sell Homeland's generic Toastee Oats cereal is not valid to only determine its MAR based on its own price.

Vendors whose WIC sales account for over 50% of total sales, and who are marked as over 50% vendors, will be calculated differently. The over 50% vendors' MAR will be set as the statewide average for all peer groups.

Exceptions to the formulaic calculation occur when the price jumps or dips in too great a degree. Another variable, the percentage tolerance, is applied to the current MAR and the newly calculated MAR to identify large movements. An e-mail is sent to state personnel that notifies them of these exceptions. A screen maintains this exception list with enough detail for a determination of approval or denial of the new MAR to be made.

At any point, the Peer Group MAR values can be viewed and manually overridden. To aide this task, the existing UPC screen displays previous, current and future MARs for the UPC in each Peer Group. In addition, the Category-Subcategory values are shown, as well as the average and standard deviation of all claimed prices. The screen also allows the user to enter and save MAR values for a future effective date.

After processing is complete, an e-mail is sent to the vendor manager specifying one of the following scenarios. E-mail addresses are managed in the EBT Notification List, documented in <u>Chapter 09 – Reference Utility</u>.

- MARs were recalculated, but there were no new MARs to approve

- MARs were recalculated, and there were new MARs to approve

3.40 Generate E-Mails Identifying EBT Issuance Discrepancies

The system will examine the household issuance and void totals each day for every household. This data will be compared to the same data in the WIC Activity File. This file is imported from the JP Morgan EBT system and into the WIC Database by the End of Day Processes. If any discrepancies between the two sets of data are identified, an automatic e-mail will be sent to the EBT Manager detailing the discrepancies.

3.41 Generate E-Mails Notifying Users of New Product Additions

The End of Day process will generate an email notifying users of any new product additions for which MAR values need to be set (Maximum Allowable Reimbursement). E-mail addresses are managed in the EBT Notification List, documented in <u>Chapter 09 – Reference Utility</u>.

The email will display a list of categories and a count of products that have no MAR set. A sample email is displayed below:

```
The following categories have MAR values that need to be set:

Category – Desc - MAR values needed
51 - Milk Whole - 15
09 - Infant Cereal - 12

The values may be set from the Vendor List, UPC Maximum Allowable
Reimbursement (MAR) Price Management dialog under the management menu.  To
set the values individually for each peer group select the MAR Override
menu item.  To set the values at the category level select the Set Initial
MAR Values menu item.
```

Figure 2– Sample MAR Values Need to be Set E-Mail